

SA-CMM - Level 2 Evaluation Criteria

4/17/2001

SA-CMM - Level 2								
	Observations	CMM Ref	SID Ref	FS	PS	NS	NR	NA
KPA: 2.1 Software Acquisition Planning								
2.1.1	The acquisition organization has a written policy for planning the software acquisition.	SAP.CO.1						
2.1.2	Responsibility for software acquisition planning activities is designated.	SAP.CO.2						
2.1.3	A group that is responsible for planning the software acquisition exists.	SAP.AB.1						
2.1.4	The acquisition organization provides experienced software acquisition management personnel to support project software acquisition planning.	SAP.AB.2						
2.1.5	Adequate resources are provided for software acquisition planning activities.	SAP.AB.3						
2.1.6	Software acquisition planning personnel are involved in system acquisition planning.	SAP.AC.1						
2.1.7	The project's software acquisition planning is accomplished in conjunction with system acquisition planning.	SAP.AC.2						
2.1.8	The software acquisition strategy for the project is developed and documented.	SAP.AC.3						
2.1.9	Software acquisition planning addresses the elements of the software acquisition process.	SAP.AC.4						
2.1.10	The project's software acquisition planning is documented and the planning documentation is maintained over the life of the project.	SAP.AC.5						
2.1.11	Life cycle support of the software is included in software acquisition planning documentation.	SAP.AC.6						
2.1.12	Life cycle cost and schedule estimates for the software products and services being acquired are prepared and independently reviewed.	SAP.AC.7						
2.1.13	Measurements are made and used to determine the status of the software acquisition planning activities and resultant products.	SAP.ME.1						
2.1.14	Software acquisition planning activities are reviewed by acquisition organization management on a periodic basis.	SAP.VE.1						
2.1.15	Software acquisition planning activities are reviewed by the project manager on both a periodic and event-driven basis.	SAP.VE.2						
KPA: 2.2 Solicitation								
2.2.1	The acquisition organization has a written policy for the conduct of the software portion of the solicitation.	SO.CO.1						
2.2.2	Responsibility for the software portion of the solicitation is designated.	SO.CO.2						
2.2.3	A selection official has been designated to be responsible for the selection process and the decision.	SO.CO.3						
2.2.4	A group that is responsible for coordinating and conducting solicitation activities exists.	SO.AB.1						
2.2.5	Adequate resources are provided for solicitation activities.	SO.AB.2						
2.2.6	Individuals performing solicitation activities have experience or receive training.	SO.AB.3						
2.2.7	The groups supporting the solicitation (e.g., end user, systems engineering, software support organization, and application domain experts) receive orientation on the solicitation's objectives and procedures.	SO.AB.4						
2.2.8	The project team performs its activities in accordance with its documented solicitation plans.	SO.AC.1						
2.2.9	Solicitation activities are conducted in a manner compliant with relevant laws, policies, and guidance.	SO.AC.2						
2.2.10	The software and evaluation requirements are incorporated into the solicitation package and resulting contract.	SO.AC.3						
2.2.11	Proposals are evaluated in accordance with documented solicitation plans.	SO.AC.4						

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2.2.12	Cost and schedule estimates for the software products and services being sought are prepared.	SO.AC.5						
2.2.13	Software cost and schedule estimates are independently reviewed for comprehensiveness and realism.	SO.AC.6						
2.2.14	The selection official uses proposal evaluation results to support his or her decision to select an offeror.	SO.AC.7						
2.2.15	The project team takes action to ensure the mutual understanding of software requirements and plans with the selected offeror(s) prior to contract signing.	SO.AC.8						
2.2.16	Measurements are made and used to determine the status of the solicitation activities and resultant products.	SO.ME.1						
2.2.17	Solicitation activities are reviewed by the acquisition organization management on a periodic basis.	SO.VE.1						
2.2.18	Solicitation activities are reviewed by the project manager or designated selection official on both a periodic and event-driven basis.	SO.VE.2						
KPA: 2.3 Requirements Development and Management								
2.3.1	The acquisition organization has a written policy for establishing and managing the software-related contractual requirements.	RD.CO.1						
2.3.2	Responsibility for requirements development and management is designated.	RD.CO.2						
2.3.3	A group that is responsible for performing requirements development and management activities exists.	RD.AB.1						
2.3.4	Adequate resources are provided for requirements development and management activities.	RD.AB.2						
2.3.5	Individuals performing requirements development and management activities have experience or receive training.	RD.AB.3						
2.3.6	The project team performs its activities in accordance with its documented requirements development and management plans.	RD.AC.1						
2.3.7	The project team develops, baselines, and maintains software-related contractual requirements and places them under change control early in the project, but not later than release of the solicitation package.	RD.AC.2						
2.3.8	The project team appraises system requirements change requests for their impact on the software being acquired.	RD.AC.3						
2.3.9	The project team appraises all changes to the software-related contractual requirements for their impact on performance, architecture, supportability, system resource utilization, and contract schedule and cost.	RD.AC.4						
2.3.10	Bi-directional traceability between the contractual requirements and the contractor team's software work products and services is maintained throughout the effort.	RD.AC.5						
2.3.11	The end user and other affected groups are involved in the development of all software-related contractual requirements and any subsequent change activity.	RD.AC.6						
2.3.12	Measurements are made and used to determine the status of the requirements development and management activities and resultant products.	RD.ME.1						
2.3.13	Requirements development and management activities are reviewed by acquisition organization management (and the contractor) on a periodic basis.	RD.VE.1						
2.3.14	Requirements development and management activities are reviewed by the project manager on both a periodic and event-driven basis.	RD.VE.2						
KPA: 2.4 Project Management								

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2.4.1	The acquisition organization has a written policy for execution of the software project.	PM.CO.1						
2.4.2	Responsibility for project management is designated.	PM.CO.2						
2.4.3	A team that is responsible for performing the project's software acquisition management activities exists.	PM.AB.1						
2.4.4	Adequate resources for the project team are provided for the duration of the software acquisition project.	PM.AB.2						
2.4.5	When project trade-offs are necessary, the project manager is permitted to alter the performance, cost, or schedule software acquisition baseline.	PM.AB.3						
2.4.6	The project team has experience or receives training in project software acquisition management activities.	PM.AB.4						
2.4.7	The project team performs its activities in accordance with its documented software acquisition management plans.	PM.AC.1						
2.4.8	The roles, responsibilities, and authority for the project functions are documented, maintained, and communicated to affected groups.	PM.AC.2						
2.4.9	The project team's commitments, and changes to commitments, are communicated to affected groups.	PM.AC.3						
2.4.10	The project team tracks the risks associated with cost, schedule, resources, and the technical aspects of the project.	PM.AC.4						
2.4.11	The project team tracks project issues, status, execution, funding, and expenditures against project plans and takes action.	PM.AC.5						
2.4.12	The project team implements a corrective action system for the identification, recording, tracking, and correction of problems discovered during the software acquisition.	PM.AC.6						
2.4.13	The project team keeps its plans current during the life of the project as replanning occurs, issues are resolved, requirements are changed, and new risks are discovered.	PM.AC.7						
2.4.14	Measurements are made and used to determine the status of the project management activities and resultant products.	PM.ME.1						
2.4.15	Project management activities are reviewed by acquisition organization management on a periodic basis.	PM.VE.1						
2.4.16	Project management activities are reviewed by the project manager on both a periodic and event-driven basis.	PM.VE.2						
KPA: 2.5 Contract Tracking and Oversight								
2.5.1	The acquisition organization has a written policy for the contract tracking and oversight of the contracted software effort.	CT.CO.1						
2.5.2	Responsibility for contract tracking and oversight activities is designated.	CT.CO.2						
2.5.3	The project team includes contracting specialists in the execution of the contract.	CT.CO.3						
2.5.4	A group that is responsible for managing contract tracking and oversight activities exists.	CT.AB.1						
2.5.5	Adequate resources are provided for contract tracking and oversight activities.	CT.AB.2						
2.5.6	Individuals performing contract tracking and oversight activities have experience or receive training.	CT.AB.3						
2.5.7	The project team performs its activities in accordance with its documented contract tracking and oversight plans.	CT.AC.1						
2.5.8	The project team reviews required contractor software planning documents which, when satisfactory, are used to oversee the contractor team's software engineering effort.	CT.AC.2						

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2.5.9	The project team conducts periodic reviews and interchanges with the contractor team.	CT.AC.3						
2.5.10	The actual cost and schedule of the contractor's software engineering effort are compared to planned schedules and budgets and issues are identified.	CT.AC.4						
2.5.11	The size, critical computer resources, and technical activities associated with the contractor team's work products are tracked and issues identified.	CT.AC.5						
2.5.12	The project team reviews and tracks the development of the software engineering environment required to provide life cycle support for the acquired software and issues are identified.	CT.AC.6						
2.5.13	Any issues found by the project team during contract tracking and oversight are recorded in the appropriate corrective action system, action taken, and tracked to closure.	CT.AC.7						
2.5.14	The project team ensures that changes to the software-related contractual requirements are coordinated with all affected groups and individuals, such as the contracting official, contractor, and end user.	CT.AC.8						
2.5.15	Measurements are made and used to determine the status of the contract tracking and oversight activities and resultant products.	CT.ME.1						
2.5.16	Contract tracking and oversight activities are reviewed by acquisition organization management on a periodic basis.	CT.VE.1						
2.5.17	Contract tracking and oversight activities are reviewed by the project manager on both a periodic and event-driven basis.	CT.VE.2						
KPA: 2.6 Evaluation								
2.6.1	The acquisition organization has a written policy for managing the evaluation of the acquired software products and services.	EV.CO.1						
2.6.2	Responsibility for evaluation activities is designated.	EV.CO.2						
2.6.3	A group that is responsible for planning, managing, and performing evaluation activities for the project exists.	EV.AB.1						
2.6.4	Adequate resources are provided for evaluation activities.	EV.AB.2						
2.6.5	Individuals performing evaluation activities have experience or receive training.	EV.AB.3						
2.6.6	Members of the project team and groups supporting the software acquisition receive orientation on the objectives of the evaluation approach.	EV.AB.4						
2.6.7	The project team performs its activities in accordance with its documented evaluation plans.	EV.AC.1						
2.6.8	The project's evaluation requirements are developed in conjunction with the development of the system or software technical requirements.	EV.AC.2						
2.6.9	The project's evaluation activities are planned to minimize duplication and take advantage of all evaluation results, where appropriate.	EV.AC.3						
2.6.10	The project team appraises the contractor team's performance over the total period of the contract for compliance with requirements.	EV.AC.4						
2.6.11	Planned evaluations are performed on the evolving software products and services prior to acceptance for operational use.	EV.AC.5						
2.6.12	Results of the evaluations are analyzed and compared to the contract's requirements to establish an objective basis to support the decision to accept the products and services or to take further action.	EV.AC.6						
2.6.13	Measurements are made and used to determine the status of the evaluation activities and resultant products.	EV.ME.1						

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2.6.14	Evaluation activities are reviewed by acquisition organization management on a periodic basis.	EV.VE.1						
2.6.15	Evaluation activities are reviewed by the project manager on both a periodic and event-driven basis.	EV.VE.2						
KPA: 2.7 Transition To Support								
2.7.1	The acquisition organization has a written policy for the transitioning of software products to the software support organization.	TTS.CO.1						
2.7.2	The acquisition organization ensures that the software support organization is involved in planning for transition to support.	TTS.CO.2						
2.7.3	Responsibility for transition to support activities is designated.	TTS.CO.3						
2.7.4	A group that is responsible for coordinating transition to support activities exists.	TTS.AB.1						
2.7.5	Adequate resources are provided for transition to support activities.	TTS.AB.2						
2.7.6	The organization responsible for providing support of the software products is identified no later than initiation of the solicitation package's development.	TTS.AB.3						
2.7.7	The software support organization, prior to transition, has a complete inventory of all software and related items that are to be transitioned.	TTS.AB.4						
2.7.8	Individuals performing transition to support activities have experience or receive training.	TTS.AB.5						
2.7.9	The members of organizations interfacing with the transition to support activities receive orientation on the salient aspects of transition to support activities.	TTS.AB.6						
2.7.10	The project team performs its activities in accordance with its documented transition to support plans.	TTS.AC.1						
2.7.11	Responsibility for the software products is transferred only after the software support organization demonstrates its capability and capacity to modify and support the software products.	TTS.AC.2						
2.7.12	The project team conducts activities to ensure that support of the software products is maintained and is effective during the transition from the contractor to the software support organization.	TTS.AC.3						
2.7.13	The project team oversees the configuration control of the software products throughout the transition.	TTS.AC.4						
2.7.14	Measurements are made and used to determine the status of the transition to support activities and resultant products.	TTS.ME.1						
2.7.15	Transition to support activities are reviewed by acquisition and software support organizations' managements on a periodic basis.	TTS.VE.1						
2.7.16	Transition to support activities are reviewed by the project manager on both a periodic and event-driven basis.	TTS.VE.2						

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KPA: 3.1 Process Definition and Maintenance								
3.1.1	The acquisition organization has a written policy for software acquisition process definition and maintenance activities.	PDM.CO.1						
3.1.2	Organization management sponsors the acquisition organization's activities for process definition and maintenance.	PDM.CO.2						
3.1.3	Responsibility for process definition and maintenance activities is designated.	PDM.CO.3						
3.1.4	A group that is responsible for the acquisition organization's process definition and maintenance activities exists.	PDM.AB.1						
3.1.5	Adequate resources are provided for process definition and maintenance activities.	PDM.AB.2						
3.1.6	Members of the software acquisition process group have experience or receive required training.	PDM.AB.3						
3.1.7	Project team members receive training on the acquisition organization's standard software acquisition process and their roles in this process.	PDM.AB.4						
3.1.8	The acquisition organization performs its activities in accordance with its documented process definition and maintenance plans.	PDM.AC.1						
3.1.9	The acquisition organization's standard software acquisition process is defined and maintained in accordance with its documented process definition and maintenance plans.	PDM.AC.2						
3.1.10	The acquisition organization's standard software acquisition process is appraised periodically and action plans developed and implemented to address the findings of the appraisal.	PDM.AC.3						
3.1.11	The acquisition organization's and projects' activities for defining and maintaining their software acquisition processes are coordinated at the organization level.	PDM.AC.4						
3.1.12	Guidelines and criteria for a project's selection and tailoring of the acquisition organization's standard software acquisition process are developed and maintained.	PDM.AC.5						
3.1.13	An organizational repository of software acquisition process information is established, managed, controlled, and maintained to support process definition and maintenance activities.	PDM.AC.6						
3.1.14	Project teams are informed of the acquisition organization's activities for process definition and maintenance and of the projects' tailoring of the acquisition organization's standard software acquisition process.	PDM.AC.7						
3.1.15	Measurements are made and used to determine the status of the process definition and maintenance activities and resultant products.	PDM.ME.1						
3.1.16	Process definition and maintenance activities are reviewed by acquisition organization management on a periodic basis.	PDM.VE.1						
KPA: 3.2 Project Performance Management								
3.2.1	The acquisition organization has a written policy for the planning and managing of the project's software acquisition activities.	PPM.CO.1						
3.2.2	The individuals responsible for managing the software acquisition project activities have experience or receive required training.	PPM.AB.1						
3.2.3	The project's defined software acquisition process is developed and documented by tailoring the acquisition organization's standard software acquisition process according to the organization's tailoring guidelines.	PPM.AC.1						
3.2.4	The project team develops and maintains the Project Management Plan in accordance with the acquisition organization's standard software acquisition process.	PPM.AC.2						

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	Observations	CMM Ref	SID Ref	FS	PS	NS	NR	NA
3.2.5	The project team's software acquisition management activities are performed in accordance with the project's defined software acquisition process and the Project Management Plan.	PPM.AC.3						
3.2.6	The project's defined software acquisition process is revised as required to remain consistent with current project objectives.	PPM.AC.4						
3.2.7	The project team coordinates its activities with other organizations and activities supporting the project.	PPM.AC.5						
3.2.8	The acquisition organization's software acquisition process repository is used for project planning, estimating, and management.	PPM.AC.6						
3.2.9	Critical dependencies are identified, negotiated, and managed.	PPM.AC.7						
3.2.10	The project team performs periodic reviews to ensure current and projected needs of the end user will be satisfied.	PPM.AC.8						
3.2.11	Measurements are used to determine project team performance and trends analyzed.	PPM.AC.9						
3.2.12	The project team identifies and analyzes risks and identifies specific risk mitigation actions for those risks.	PPM.AC.10						
3.2.13	The project team's software acquisition lessons learned are identified, documented, and entered into the acquisition organization's software acquisition process repository.	PPM.AC.11						
3.2.14	Measurements are made and used to determine the status of the project performance management activities and resultant products.	PPM.ME.1						
3.2.15	Project performance management activities are reviewed by acquisition organization management on a periodic basis.	PPM.VE.1						
3.2.16	Project performance management activities are reviewed by the project manager on both a periodic and event-driven basis.	PPM.VE.2						
KPA: 3.3 Contract Performance Management								
3.3.1	The acquisition organization has a written policy for the performance of contract performance management activities.	CPM.CO.1						
3.3.2	Individuals performing contract performance management activities have experience or receive required training in related software acquisition disciplines and contract performance management procedures.	CPM.AB.1						
3.3.3	The project team performs its activities in accordance with its documented contract performance management plans.	CPM.AC.1						
3.3.4	The contractor team's software engineering process is appraised according to the project's defined software acquisition process.	CPM.AC.2						
3.3.5	Results of the contractor team's engineering activities are appraised according to the project's defined software acquisition process.	CPM.AC.3						
3.3.6	Measurements from appraisals are used to evaluate the contractor team's performance and trends analyzed.	CPM.AC.4						
3.3.7	As understanding of the contractor team's software engineering process, products, and services improves, the project team may propose changes to the software acquisition approach to mitigate risks.	CPM.AC.5						
3.3.8	The end user periodically participates in the evaluation of evolving software products and services to determine the satisfaction of operational requirements.	CPM.AC.6						
3.3.9	Contract performance management activities are performed to foster a cooperative and productive environment among the end user, project team, and the contractor team.	CPM.AC.7						
3.3.10	Measurements are made and used to determine the status of the contract performance management activities and resultant products.	CPM.ME.1						

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3.3.11	Contract performance management activities are reviewed by acquisition organization management on a periodic basis.	CPM.VE.1						
3.3.12	Contract performance management activities are reviewed by the project manager on both a periodic and event-driven basis.	CPM.VE.2						
KPA: 3.4 Acquisition Risk Management								
3.4.1	The acquisition organization has a written policy for the management of software acquisition risk.	ARM.CO.1						
3.4.2	Responsibility for software acquisition risk management activities is designated.	ARM.CO.2						
3.4.3	A group that is responsible for coordinating software acquisition risk management activities exists.	ARM.AB.1						
3.4.4	Adequate resources are provided for software acquisition risk management activities.	ARM.AB.2						
3.4.5	Individuals performing software acquisition risk management activities have experience or receive required training.	ARM.AB.3						
3.4.6	Software acquisition risk management activities are integrated into software acquisition planning.	ARM.AC.1						
3.4.7	The Software Acquisition Risk Management Plan is developed in accordance with the project's defined software acquisition process.	ARM.AC.2						
3.4.8	The project team performs its software acquisition risk management activities in accordance with its documented plans.	ARM.AC.3						
3.4.9	The project team encourages and rewards project-wide participation in the identification and mitigation of risks.	ARM.AC.4						
3.4.10	Risk management is conducted as an integral part of the solicitation, project performance management, and contract performance management processes.	ARM.AC.5						
3.4.11	Software acquisition risks are analyzed, tracked, and controlled until mitigated.	ARM.AC.6						
3.4.12	Project reviews include the status of identified risks.	ARM.AC.7						
3.4.13	Measurements are made and used to determine the status of the acquisition risk management activities and resultant products.	ARM.ME.1						
3.4.14	Acquisition risk management activities are reviewed by acquisition organization management on a periodic basis.	ARM.VE.1						
3.4.15	Acquisition risk management activities are reviewed by the project manager on both a periodic and event-driven basis.	ARM.VE.2						
KPA: 3.5 Training Program								
3.5.1	The organization has a written policy for satisfying its training needs.	TP.CO.1						
3.5.2	Responsibility for implementing the organization's training program is designated.	TP.CO.2						
3.5.3	A group that is responsible for fulfilling the training needs of the organization exists.	TP.AB.1						
3.5.4	Adequate resources are provided for training program activities.	TP.AB.2						
3.5.5	Members of the training group have the necessary skills and knowledge to perform their training activities.	TP.AB.3						
3.5.6	Software acquisition management personnel receive orientation on the training program.	TP.AB.4						
3.5.7	The organization's training program is planned, developed, implemented, and maintained to support the organization's training requirements.	TP.AC.1						

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3.5.8	Each software acquisition project identifies specific training needs and develops a training plan in accordance with training program procedures.	TP.AC.2						
3.5.9	Software acquisition training for the organization is provided in accordance with the organization's training program.	TP.AC.3						
3.5.10	A waiver procedure for required training is established and used to determine whether individuals already possess the knowledge and skills required to perform their designated roles.	TP.AC.4						
3.5.11	Training records are maintained.	TP.AC.5						
3.5.12	Measurements are used to determine the quality of the training program.	TP.AC.6						
3.5.13	Measurements are made and used to determine the status of the training program activities and resultant products.	TP.ME.1						
3.5.14	Training program activities are reviewed by organization management on a periodic basis.	TP.VE.1						